



Practitioner's Docket No. 2639/A36

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Mackie, Andrew W.

Application No.: 10/042,528

Group No.: 2626

Filed: October 18, 2001

Examiner: Jackson, J.

For: Method and Apparatus for Efficient Segmentation of Compound Words....

**Commissioner for Patents**

**P.O. Box 1450**

**Alexandria, VA 22313-1450**

**INFORMATION DISCLOSURE STATEMENT**

(Information Disclosure Statement--page 1 of 7)

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**CERTIFICATION UNDER 37 C.F.R. SECTIONS 1.8(a) and 1.10\***

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Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

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**37 C.F.R. SECTION 1.8(a)**

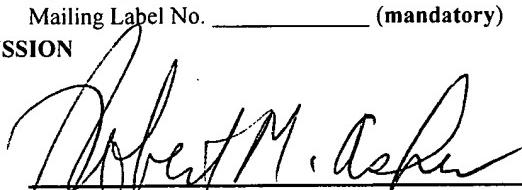
**37 C.F.R. SECTION 1.10\***

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*"Since the filing of correspondence under section 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.*

**NOTE:** "An information disclosure statement shall be considered by the Office if filed by the applicant:

- (1) Within three months of the filing date of a national application;
- (2) Within three months of the date of entry of the national stage as set forth in section 1.491 in an international application; or
- (3) Before the mailing date of a first Office action on the merits, whichever event occurs last." 37 C.F.R. section 1.97(b).

**NOTE:** "Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section." 37 C.F.R. section 1.56(a).  
"Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:  
(1) each inventor named in the application;  
(2) each attorney or agent who prepares or prosecutes the application; and  
(3) every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application." 37 C.F.R. section 1.56(c).

**NOTE:** The "duty as described in section 1.56 will be met so long as the information in question was cited by the Office or submitted to the Office in the manner prescribed by sections 1.97(b) - (d) and 1.98 before issuance of the patent." Notice of January 9, 1992, 1135 O.G. 13-25 at 17.

**WARNING:** "No information disclosure statement may be filed in a provisional application." 37 C.F.R. section 1.51(b).

### **List of Sections Forming Part of This Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

*(check sections forming a part of this statement: discard unused sections and number pages consecutively)*

1. [x]Preliminary Statements
2. [x]Forms PTO/SB/08A and 08B (substitute for Form PTO-1449)
3. [ ]Statement as to Information Not Found in Patents or Publications
4. [ ]Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
5. [ ]Cumulative Patents or Publications
6. [x]Copies of Listed Information Items Accompanying This Statement
7. [ ]Concise Explanation of Non-English Language Listed Information Items
  - 7A. [ ]EPO Search Report
  - 7B. [ ]English Language Version of EPO Search Report
8. [ ]Translation(s) of Non-English Language Documents
9. [ ]Concise Explanation of English Language Listed Information Items (Optional)
10. [x]Identification of Person(s) Making This Information Disclosure Statement

*(complete the following, if appropriate)*

Sections , respectively, have been continued on ADDED PAGE(S).

**NOTE :**"Once the minimum requirements are met, the examiner has an obligation to consider the information." Notice of April 20, 1992 (1138 O.G. 37-41, 37).

## **Section 1. Preliminary statements**

Applicants submit herewith patents, publications or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. section 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.



**SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Mackie, Andrew W. Attorney Docket: 2639/A36  
 Serial No: 10/042,528 Art Group Unit: 2626  
 Date Filed: October 18, 2001 Examiner Name: Jackson, J.  
 Invention: Method and Apparatus for Efficient Segmentation of Compound Words....

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE STATEMENT**

<b>U.S. PATENT DOCUMENTS</b>					
<b>Examiner Initials</b>	<b>Reference Number</b>	<b>Document Number</b>	<b>Issue Date</b>	<b>Inventor</b>	<b>Class/Subclass</b>
	AA	US 5,510,981	Apr. 23, 1996	Berger et al.	364/419.02
	AB	US 5,754,972	May 19,	Baker et al.	704.200
	AC	US 5,768,603	Jun. 16, 1998	Brown et al.	395.759
	AD	US 5,797,122	Aug. 18, 1998	Spies	704.255
	AE	US 6,393,399	May 21, 2002	Even	704/257
	AF	US 6,839,670	Jan. 4, 2005	Stammler et al.	704/251

<b>FOREIGN PATENT DOCUMENTS</b>						
<b>Examiner Initials</b>	<b>Reference Number</b>	<b>Country Code</b>	<b>Document Number</b>	<b>Publication Date</b>	<b>Patentee or Applicant</b>	<b>Class/Subclass</b>
	AG	DE	195 10 083	Sept. 26, 1996		
	AH	EP	0 566 848	Oct. 27, 1993		
	AI	EP	0 508 225	Oct. 14, 1992		
	AJ	WO	93 18506	Sept. 16, 1993		

<b>OTHER DOCUMENTS</b>			
<b>Examiner Initials</b>	<b>Reference Number</b>	<b>Author</b>	<b>Title of Article, Title of Journal, Volume Number, Page Numbers, Date</b>
	AK	Berton et al.	<i>"Compound Words in Large-Vocabulary German Speech Recognition Systems,"</i> Spoken Language, pp. 1165-1168, 1996.
	AL	Geutner, P.	<i>"Using morphology towards better large-vocabulary speech recognition systems,"</i> 1995 International Conference on Acoustics, Speech, and Signal Processing, pp. 445-448.
	AM	Spies, M.	<i>"A Language Model for Compound Words in Speech Recognition,"</i> European Conference on Speech Communication and Technology, vol. Conf. 4, pp. 1767-1770, 1995.



Applicants: Mackie, Andrew W. Attorney Docket: 2639/A36  
Serial No: 10/042,528 Art Group Unit: 2626  
Date Filed: October 18, 2001 Examiner Name: Jackson, J.  
Invention: Method and Apparatus for Efficient Segmentation of Compound Words....

Examiner Signature: \_\_\_\_\_

Date Considered: \_\_\_\_\_

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation *if not* in conformance and not considered. Include copy of this form with next communication to applicant.

## **Section 6. Copies of Listed Information Items Accompanying This Statement**

*NOTE: 37 C.F.R. section 1.98(a)(2) requires that any information disclosure statement filed under section 1.97 shall include: "A legible copy of: (i) Each U.S. and foreign patent; (ii) Each publication or that portion which caused it to be listed; and (iii) All other information or that portion which caused it to be listed, except that no copy of a U.S. patent application need be included . . ."*

*NOTE: The wording in section 1.98(a)(2)(iii) makes it clear that the requirement to submit a copy of each item of information listed in an information disclosure statement does not apply to the citation of a U.S. patent application. Notice of January 9, 1992, 1135 O.G. 13-25, at 14.*

Legible copies of all items listed in Forms PTO/SB/08A and 08B (substitute for Form PTO-1449) accompany this information statement.

*(complete the following, if applicable)*

[x ]Exception(s) to above:

**U.S. patent citations are not included pursuant to the United State Patent and Trademarks Office's September 21, 2004 waiver of the copy requirement in 37 CFR 1.98 for cited pending U.S. patent citations when the patent citations are available in the USPTO's IFW system.**

[ ]Items in prior application, from which an earlier filing date is claimed for this application, as identified in Section 4.

[ ]Cumulative patents or publications identified in Section 5.

## **Section 10. Identification of Person(s) Making This Information Disclosure Statement**

The person making this certification is

*(check each applicable item)*

- (a)  [ ] the inventor(s) who signs below

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### **SIGNATURE OF INVENTOR**

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*(type name of inventor who is signing)*

- (b)  [ ] an individual associated with the filing and prosecution of this application (37 C.F.R. section 1.56(c))

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### **SIGNATURE OF INVENTOR**

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*(type name of inventor who is signing)*

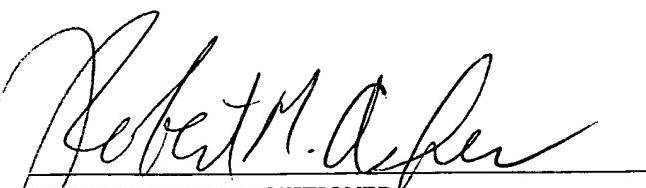
- (c)  [x] the practitioner who signs below on the basis of the information:

*(check each applicable item)*

[ ] supplied by the inventor(s).

[ ] supplied by an individual associated with the filing and prosecution of this application. (37 C.F.R. section 1.56(c)).

[x] in the practitioner's file.



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### **SIGNATURE OF PRACTITIONER**

Robert M. Asher

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